



#9

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

of 3

Complete if Known

Application Number 09/134,014

Filing Date August 14, 1998

First Named Inventor Gruissem et al

Art Unit 1648 38

Examiner Name David T. Fox

Attorney Docket Number 018941-000200US

JUL 21 6 2002
USPTO
PATENT & TRADEMARK OFFICE
RECEIVED

U.S. PATENT DOCUMENTS

Examiner	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	AA	US-				
	AB	US-				
	AC	US-				
	AD	US-				
	AE	US-				
	AF	US-				
	AG	US-				
	AH	US-				
	AI	US-				
	AJ	US-				
	AK	US-				
	AL	US-				
	AM	US-				
	AN	US-				
	AO	US-				
	AP	US-				
	AQ	US-				
	AR	US-				
	AS	US-				
	AT	US-				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³	Number ⁴	Kind Code ⁵ (if known)				
	AU							
	AV							
	AW							
	AX							
	AY							
	AZ							
	BA							
	BB							

Examiner Signature	<i>David T. Fox</i>	Date Considered	10/19/02
--------------------	---------------------	-----------------	----------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

JUL 22 2002

PTO/SB/08B (10-01)

Approved for use through 10/31/2002, OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2 of 3

Complete if Known

Application Number	09/134,014
Filing Date	August 14, 1998
First Named Inventor	Gruissem, Wilhelm, et al.
Art Unit	1640 38
Examiner Name	David T. Fox

Attorney Docket Number 018941-000200US

RECEIVED
JUL 26 2002
EPOCH CENTER 1600/2000

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
DTF	BC	Assaad, et al., <i>Genetics</i> , "Somatic and Germinal Recombination of a Direct Repeat in <i>Arabidopsis</i> ", 132:553-566 (1992)	
	BD	Tovar, et al., <i>Plant Cell</i> , "Somatic and Meiotic Chromosomal Recombination between Inverted Duplications in Transgenic Tobacco Plants", 4:319-332 (1992)	
	BE	Bauer, et al., <i>Mol. Cell. Biol.</i> "Intermolecular Homologous Recombination in Plants", 10:492-500 (1990)	
	BF	Chiurazzi, et al., <i>Plant Cell</i> , "Enhancement of Somatic Intrachromosomal Homologous Recombination in <i>Arabidopsis</i> by the HO Endonuclease", 8(11): 2057-2066 (1996)	
	BG	Hrouda, et al., <i>Mol. Gen. Genet.</i> "High Fidelity Extrachromosomal Recombination and Gene Targeting in Plants", 243:106-111 (1994)	
	BH	Lebel, et al., <i>Proc. Natl. Acad. Sci. USA</i> , "Stress-induced Intrachromosomal Recombination in Plant Somatic Cells", 90:422-426 (1993)	
	BT	Lyznik, et al., <i>Mol. Gen. Genet.</i> "Homologous-Recombination-between-Plasmid-DNA Molecules in Maize Protoplasts", 230:209-218 (1991) D U P L I C A T E	
	BJ	Offringa, et al., <i>Proc. Natl. Acad. Sci. USA</i> , "Nonreciprocal Homologous Recombination between Agrobacterium Transferred DNA and a Plant Chromosomal Locus", 90:7346-7350 (1993)	
	BK	Offringa, et al., <i>EMBO J.</i> , "Extrachromosomal Homologous Recombination and Gene Targeting in Plant Cells After Agrobacterium Mediated Transformation", 9:3077-3084 (1990)	
	BL	Swoboda, et al., <i>EMBO J.</i> , "Intrachromosomal Homologous Recombination-in-Whole Plants", 13:484-489 (1994) D U P L I C A T E	
	BM	Risseeuw, et al., <i>Plant J.</i> , "Targeted Recombination in Plants Using Agrobacterium — Coincides with Additional Rearrangements at the Target Locus", 7:109-119 (1995)	
	BN	Puchta, et al., <i>Proc. Natl. Acad. Sci. USA</i> , "Two Different but Related Mechanisms are Used in Plants for the Repair of Genomic Double-strand Breaks by Homologous Recombination", 93:5055-5060 (1996)	
	BO	Puchta, et al., <i>Nuc. Acids Res.</i> , "Homologous Recombination in Plant Cells is Enhanced by <i>In Vivo</i> Induction of Double Strand Breaks into DNA by a Site-specific Endonuclease", 21:5034-5040 (1993)	
	BP	Puchta, et al., <i>Plant Mol. Biol.</i> , "Somatic Intrachromosomal Homologous Recombination Events in Populations of Plant Siblings", 28:281-292 (1995)	
	BQ	Puchta, et al., <i>Mol. Cell. Biol.</i> , "Extrachromosomal Homologous DNA Recombination in Plant Cells is Fast and is Not Affected by CpG Methylation", 12:3372-3379 (1992)	

Examiner Signature

David T. Fox

Date Considered

10/9/02

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1366451 v1

JUL 22 2002

PTO/SB/08B (10-01)

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449B/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 3 of 3

Complete if Known

Application Number	09/134,014
Filing Date	August 14, 1998
First Named Inventor	Gruissem, Wilhelm, et al.
Art Unit	1648 38
Examiner Name	David T. Fox
Attorney Docket Number	018941-000200US

SEARCHED
INDEXED
FILED
JUL 26 2002
FEDERAL
PATENT & TRADEMARK OFFICE
RECEIVED

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
DTF	BR	Puchta, et al., <i>Nuc. Acids Res.</i> , "A Transient Assay in Plant Cells Reveals a Positive Correlation Between Extrachromosomal Recombination Rates and Length of Homologous Overlap", 19:2693-2700 (1991)	—
	BS	Puchta, et al., <i>Mol. Gen. Genet.</i> , "The Mechanism of Extrachromosomal Homologous DNA Recombination in Plant Cells", 230:1-7 (1991)	—
	BT	Paszkowski, et al., <i>EMBO J.</i> , "Gene Targeting in Plants", 7:4021-4026 (1988)	—
	BU	Peterhans, et al., <i>EMBO J.</i> , "Intrachromosomal Recombination in Plants", 9:3437-3466 (1990)	—
	BV	Buerstedde, et al., <i>Cell</i> , "Increased Ratio of Targeted to Random Integration after Transfection of Chicken B Cell Lines", 67:179-88 (1991)	—
	BW	Jasin, et al., <i>Genes and Devel.</i> , "Homologous Integration in Mammalian Cells without Target Gene Selection", 2:1353-63 (1988)	—
✓	BX	Sedivy, et al., <i>Proc. Natl. Acad. Sci. USA</i> , "Positive Genetic Selection for Gene Disruption in Mammalian Cells by Homologous Recombination", 86:227-31 (1989)	—

Examiner
Signature

R. Lee

Date
Considered

10/9/02

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1366451 v1